Insurance Regulatory Compliance Training Course

Professional Development Training Course Outline

Category	Insurance	**Duration**	5 Days
Base Fee	$1,500 USD	**Delivery Mode**	Online / On-site Hybrid

Course Introduction

In today's fast-evolving financial services sector, insurance regulatory compliance has become a cornerstone for operational resilience, ethical practices, and customer trust. With increasing global scrutiny, dynamic policy frameworks, and digital transformation, insurance providers must stay updated and responsive to regulatory requirements to avoid hefty penalties and reputational damage. Training Course on Insurance Regulatory Compliance provides participants with in-depth insights into compliance frameworks, risk management strategies, regulatory audits, and ethical conduct in the insurance industry, enabling them to navigate the complexities of insurance laws and regulations confidently.

Designed by industry experts, this training emphasizes governance structures, compliance monitoring tools, and data privacy regulations, tailored to meet the needs of professionals in regulatory roles. Through real-world case studies, participants will gain practical experience in handling compliance challenges, applying insurance laws, and enhancing organizational accountability. This course also addresses trending topics such as ESG regulations, AML (Anti-Money Laundering) requirements, and InsurTech compliance to ensure holistic understanding and application.

Programme Curriculum

Insurance Regulatory Compliance Training Course

Introduction

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Course Objectives

Each objective uses trending and SEO-friendly keywords:

1. Understand the foundations of insurance regulatory frameworks globally.
2. Analyze key compliance challenges in the insurance sector.
3. Evaluate AML and KYC requirements for insurance providers.
4. Interpret data protection laws and cybersecurity protocols.
5. Master the principles of risk-based compliance strategies.
6. Gain proficiency in conducting internal audits and regulatory reporting.
7. Assess the impact of GDPR and data privacy on insurance operations.
8. Learn the compliance implications of digital insurance and InsurTech.
9. Explore the relationship between governance and compliance in insurance.
10. Examine consumer protection laws and their influence on insurance policies.
11. Study international compliance standards (NAIC, Solvency II, IRDAI, etc.).
12. Develop skills to lead regulatory change management initiatives.
13. Apply knowledge through real-life case studies involving insurance violations.

Target Audience

1. Insurance Compliance Officers
2. Regulatory Affairs Managers
3. Risk Management Professionals
4. Underwriters and Actuaries
5. Insurance Brokers and Agents
6. Auditors and Legal Advisors
7. InsurTech Professionals
8. Senior Executives in Insurance Companies

Course Duration: 5 days

Course Modules

Module 1: Introduction to Insurance Regulatory Frameworks

- Overview of national and international regulations (NAIC, IRDAI, Solvency II)
- Key regulatory bodies and their roles
- Evolution of insurance compliance laws
- Legal obligations of insurers
- Framework for ethical compliance
- **Case Study:** Breach of compliance by an insurer and NAIC penalties

Module 2: Anti-Money Laundering (AML) and KYC in Insurance

- Importance of AML/KYC in the insurance industry
- Customer due diligence (CDD) process
- Suspicious transaction monitoring
- Regulatory reporting obligations
- Penalties for non-compliance

- **Case Study:** AML failings by a global insurer leading to regulatory sanctions

Module 3: Cybersecurity & Data Protection Compliance

- GDPR and HIPAA impact on insurers
- Data breach protocols and response planning
- Information security governance
- Risk-based data compliance controls
- Privacy impact assessments (PIAs)
- **Case Study:** GDPR violation by an insurance company and consequences

Module 4: Compliance Risk Assessment and Auditing

- Risk-based approach to regulatory compliance
- Designing compliance checklists and matrices
- Internal audit processes for insurers
- Reporting irregularities to regulators
- Continuous monitoring techniques
- **Case Study:** Internal audit revealing systemic compliance gaps

Module 5: Consumer Protection and Ethical Insurance Practices

- Understanding policyholder rights
- Preventing deceptive sales practices
- Transparent disclosures and fair claims handling
- Complaint management systems
- Regulatory obligations for ethical conduct
- **Case Study:** Class action lawsuit over unfair policy denial

Module 6: Digital Insurance & InsurTech Regulatory Challenges

- Regulatory impacts of blockchain and AI in insurance
- Digital onboarding compliance checks
- Remote identity verification and fraud prevention
- Regulatory sandbox models
- Legal implications of automation in claims processing
- **Case Study:** InsurTech startup fined for unlicensed insurance sales

Module 7: ESG, Governance, and Insurance Regulation

- ESG reporting requirements in the insurance sector
- Governance structures for compliance
- Ethical investing and policy underwriting
- Sustainability in risk models
- Compliance with climate-related disclosure laws
- **Case Study:** ESG compliance failure and its effect on investor relations

Module 8: Implementing and Leading Compliance Programs

- Developing an enterprise-wide compliance culture
- Training and awareness programs for staff
- Building compliance teams and assigning roles
- Monitoring performance with KPIs
- Managing regulatory changes proactively
- **Case Study:** Successful implementation of a compliance turnaround plan

Training Methodology

- Interactive lectures with multimedia presentations
- Real-world case studies and group discussions
- Compliance simulation exercises
- Quizzes and knowledge assessments
- Downloadable toolkits and checklists
- Certificate of Completion provided upon final evaluation

Register as a group from 3 participants for a Discount

Send us an email: info@fineskilltrainingcenter.org or call *+254769199797*

Certification

Upon successful completion of this training, participants will be issued with a globally- recognized certificate.

Tailor-Made Course

We also offer tailor-made courses based on your needs.

Key Notes

a. The participant must be conversant with English.

b. Upon completion of training the participant will be issued with an Authorized Training Certificate

c. Course duration is flexible and the contents can be modified to fit any number of days.

d. The course fee includes facilitation training materials, 2 coffee breaks, buffet lunch and A Certificate upon successful completion of Training.

e. One-year post-training support Consultation and Coaching provided after the course.

f. Payment should be done at least a week before commence of the training, to Fineskill Training Center account, as indicated in the invoice so as to enable us prepare better for you.

Upcoming Scheduled Sessions

Start Date	End Date	Location	Price
23 Nov 2026	27 Nov 2026	Online	$1,000
23 Nov 2026	27 Nov 2026	Physical	$1,500
23 Nov 2026	27 Nov 2026	Physical	$3,000
23 Nov 2026	27 Nov 2026	Physical	$3,000
23 Nov 2026	27 Nov 2026	Physical	$6,000
23 Nov 2026	27 Nov 2026	Physical	$4,500

Start Date	End Date	Location	Price
23 Nov 2026	27 Nov 2026	Physical	$6,000
23 Nov 2026	27 Nov 2026	Physical	$6,000

Ready to enroll or request a customized program? Book online or contact us:

Register Online Now

Email: info@fineskilltrainingcenter.com | Website: www.fineskilltrainingcenter.com